



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: John M. Siegel, Jr. §
Fyodor N. Golos §
Application No.: 09/843,252 § Group/Art Unit: 2163
Filed: April 26, 2001 § Examiner:
For: *Ranking Based Screening System and* §
Method for Equity Analysis §

Box Missing Parts
Assistant Commissioner for Patents
Washington, D.C. 20231

COMPLETION OF FILING REQUIREMENTS
-- NON-PROVISIONAL PATENT APPLICATION

- I. This replies to the Notice to File Missing Parts of Nonprovisional Application filed under 37 CFR 1.53(b) and mailed June 18, 2001.

A copy of the Notice to File Missing Parts of Application -- Filing Date Granted is enclosed.

DECLARATION OR OATH

- II. No Declaration or Oath was filed. Enclosed is the original Declaration or Oath for this Application.

SMALL ENTITY STATUS

- III. Applicant claims small entity status. See 37 C.F.R. § 1.27.

COMPLETION FEES

- IV. 1. Filing Fee
Original Patent Application (37 C.F.R. § 1.16(a)) \$355.00
2. Fee for Claims
Each claim in excess of 20 \$ 18.00
Each independent claim in excess of 3 (37 C.F.R. § 1.16(b)) \$ 40.00

3. Surcharge Fees

Late payment of filing fee and/or late filing of original declaration or oath (37 C.F.R. § 1.16(e))

\$ 65.00

Total Completion Fees

\$478.00

AUTHORIZATION TO CHARGE ADDITIONAL FEES

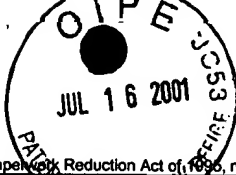
- V. The Commissioner is hereby authorized to charge any additional fees required under 37 C.F.R. § 1.16 and 1.17 to Deposit Account Number 50-0686, in the name of Lanier Ford Shaver & Payne P.C.

Respectfully submitted,



David L. Berdan
Registration No. 41,614

Lanier Ford Shaver & Payne P.C.
Customer No. 021491
P.O. Box 2087
200 West Side Square, Suite 5000
Huntsville, Alabama 35804
Phone: 256-535-1100



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision

Complete if Known

Application Number	09/843,252
Filing Date	4/26/01
First Named Inventor	John M. Siegel, Jr., et al.
Examiner Name	
Group Art Unit	2163
Attorney Docket No.	99-1054.02/US

TOTAL AMOUNT OF PAYMENT (\$478.00

METHOD OF PAYMENT

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit
Account
Number

50-0686

Deposit
Account
Name

Lanier Ford Shaver & Payne PC



Charge Any Additional Fee Required
Under 37 CFR 1.16 and 1.17



Applicant claims small entity status.
See 37 CFR 1.27

2. ☒ Payment Enclosed:



Check



Credit Card



Money
Order



Other

FEE CALCULATION

1. BASIC FILING FEE

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	FEE PAID
101	710	201	355	Utility filing fee	355.00
106	320	206	160	Design filing fee	
107	490	207	245	Plant filing fee	
108	710	208	355	Reissue filing fee	
114	150	214	75	Provisional filing fee	

SUBTOTAL (1) (\$355.00

2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	FEE PAID
22	20**	2 x 9.00 =	18.00
4	3**	1 x 40.00 =	40.00
Multiple Dependent Claims			

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	80	202	40	Independent claims in excess of 3
104	270	204	135	Multiple dependent claim, if not paid
109	80	209	40	** Reissue independent claims over original patent
110	18	210	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$58.00

**or number previously paid, if greater; FOR Reissues, see above

3. ADDITIONAL FEES

Fee Code	Large Entity Fee (\$)	Fee Code	Small Entity Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	65.00
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for ex parte reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	390	216	195	Extension for reply within second month	
117	890	217	445	Extension for reply within third month	
118	1,390	218	695	Extension for reply within fourth month	
128	1,890	228	945	Extension for reply within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,240	242	620	Petition to revive - unintentional	
142	1,240	242	620	Utility issue fee (or reissue)	
143	440	243	220	Design issue fee	
144	600	244	300	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Processing fee under 37 CFR 1.17 (q)	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	720	246	355	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	710	249	355	For each additional invention to be examined (37 CFR § 1.129(b))	
179	710	279	355	Request for Continued Examination (RCE)	
169	900	169	900	Request for Expedited examination of a design application	
Other fee (specify)				3 additional copies of patent	

Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$65.00

SUBMITTED BY

Name (Print/Type)

David L. Berdan

Registration No.
(Attorney/Agent)

41,614

Complete (if applicable)

Telephone

(256)535-1100

Signature

Date

July 13, 2001

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038. Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U. S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231

Practitioner's Docket No. 99-1054.02/US

Patent

#3

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: John M. Siegel, Jr. §
Fyodor N. Golos §
Application No.: 09/843,252 § Group/Art Unit: 2163
Filed: April 26, 2001 § Examiner:
For: *Ranking Based Screening System and* §
Method for Equity Analysis §

BOX MISSING PARTS

Assistant Commissioner for Patents
Washington, D.C. 20231

CERTIFICATE OF MAILING/TRANSMISSION (37 C.F.R. 1.8(a))

I hereby certify that, on the date shown below, this correspondence is being:

MAILING

☒ deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

Date: June 13, 2001

FACSIMILE

☐ transmitted by facsimile to the Patent and Trademark Office.

Signature

David L. Berdan


(type or print name of person certifying)

Applicant, by and through his attorney, hereby submits the following documents:

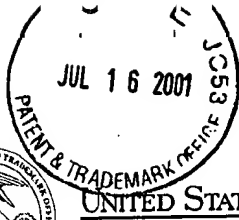
1. Fee Transmittal (w/1 copy);
2. Completion of Filing Requirements -- Non-Provisional Patent Application (with a copy of the Notice to File Missing Parts mailed June 18, 2001);
3. Declaration and Oath;
4. Statement Under 37 C.F.R. 3.73(b);
5. Copy of Assignment;

6. Power of Attorney;
8. Check in the amount of \$478.00; and
9. Return Receipt Postcard.

Respectfully submitted,
David L. Berdan
Registration No. 41,614



Signature of person mailing paper



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/843,252	04/26/2001	John M. Siegel JR.	99-1054.02

CONFIRMATION NO. 7354

21491
LANIER FORD SHAVER & PAYNE
P O BOX 2087
HUNTSVILLE, AL 35804

FORMALITIES LETTER



OC000000006196395

Date Mailed: 06/18/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

07/18/2001 BSAYASI1 00000014 09843252

FILED UNDER 37 CFR 1.53(b)

01 FC:201	355.00 OP
02 FC:202	40.00 OP
03 FC:203	18.00 OP
04 FC:205	65.00 OP

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
Applicant must submit \$ 355 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).
- Total additional claim fee(s) for this application is \$58.
 - \$18 for 2 total claims over 20.
 - \$40 for 1 independent claims over 3 .
- The oath or declaration is missing.
A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 478.

10/25/2001 HTEKLENI 00000001 500666 09843252

01 FC:203 108.00 CH

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE